



Atty. Dkt. No. 026532-0103

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Richard L. SANDOR
Title: EMISSION REDUCTION TRADING SYSTEM AND METHOD
Appl. No.: Unknown
Filing Date: July 17, 2003
Examiner: Unknown
Art Unit: Unknown

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56

Mail Stop PATENT APPLICATION
Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

Submitted herewith on Form PTO-1449 is a listing of supplemental documents known to Applicant in order to comply with Applicant's duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.



TIMING OF THE DISCLOSURE

The listed documents are being submitted in compliance with 37 CFR §1.97(b), before the mailing date of the first Office Action on the merits, and within three (3) months of the mailing date of a foreign search report, in this case an International Search Report for a corresponding PCT application.

RELEVANCE OF EACH DOCUMENT

All of the documents are in English.

Applicant respectfully requests that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 50-2350. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 50-2350.

OTHER DOCUMENTS

R. Sandor, Chairman and CEO, Environmental Financial Products, LLC, "Statement to the U.S. Senate Environment and Public Works Committee," March 24, 1999 Hearing on Credit for Voluntary Early Actions.

F.H. Murkowski, Alaska, Chairman, Committee on Energy and Natural Resources, "Climate Treaty," Hearing before Committee on Energy and Natural Resources, United States Senate, One Hundred Fifth Congress, First Session on the Impacts of a New Climate Treaty on U.S. Labor, Electricity Supply, Manufacturing and the General Economy, September 30, 1997.

R. Sandor, CEO, Environmental Financial Products, LLC, transcript of testimony given before the Sub/Committee on Environmental and Public Works, March 24, 1999.

R. Sandor, CEO, Environmental Financial Products, LLC, "Getting Started With a Pilot: The Rationale for a Limited-Scale Voluntary International Greenhouse Gas Emissions Trading Program," testimony presented to the White House Conference on

Climate Change, October 6, 1997, and the U.S. Senate Energy and Natural Resources Committee, September 30, 1997.

R. F. Kosobud, et al., "Market-Based Approaches to Environmental Policy: Regulatory Innovations to the Fore."

United Nations Conference on Trade and Development, "Combating Global Warming: Study on global system of tradeable carbon emissions entitlements," R. L. Sandor, "Implementation Issues: Market Architecture and the Tradeable Instrument," Chapter IX, pp. 151-166

Respectfully submitted,

Date Aug 21, 2003

By



FOLEY & LARDNER
Customer Number: 23524



23524

PATENT TRADEMARK OFFICE

Telephone: (608) 258-4292

Facsimile: (608) 258-4258

Paul S. Hunter
Attorney for Applicant
Registration No. 44,787

Supplemental Form PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 026532-0103		SERIAL NO. Unknown	
INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>				APPLICANT Richard L. Sandor			
				FILING DATE July 17, 2003		GROUP ART UNIT Unknown	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
FOREIGN PATENT DOCUMENTS							
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO
OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
		R. Sandor, Chairman and CEO, Environmental Financial Products, LLC, "Statement to the U.S. Senate Environment and Public Works Committee," March 24, 1999 Hearing on Credit for Voluntary Early Actions.					
		F.H. Murkowski, Alaska, Chairman, Committee on Energy and Natural Resources, "Climate Treaty," Hearing before Committee on Energy and Natural Resources, United States Senate, One Hundred Fifth Congress, First Session on the Impacts of a New Climate Treaty on U.S. Labor, Electricity Supply, Manufacturing and the General Economy, September 30, 1997.					
		R. Sandor, CEO, Environmental Financial Products, LLC, transcript of testimony given before the Sub/Committee on Environmental and Public Works, March 24, 1999.					
		R. Sandor, CEO, Environmental Financial Products, LLC, "Getting Started With a Pilot: The Rationale for a Limited-Scale Voluntary International Greenhouse Gas Emissions Trading Program," testimony presented to the White House Conference on Climate Change, October 6, 1997, and the U.S. Senate Energy and Natural Resources Committee, September 30, 1997.					
		R. Sandor, "Toward an International CO ₂ Entitlement Spot and Futures Market" Chapter 3.2, pp. 221-236, editors: R. F. Kosobud, et al., "Market-Based Approaches to Environmental Policy: Regulatory Innovations to the Fore."					
		United Nations Conference on Trade and Development, "Combating Global Warming: Study on global system of tradeable carbon emissions entitlements," R. L. Sandor, "Implementation Issues: Market Architecture and the Tradeable Instrument," Chapter IX, pp. 151-166.					
		R. Sandor, Statement to Prague meeting on Sustainable Development, January 14, 1995.					
EXAMINER				DATE CONSIDERED			
* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.							